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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/813,910	03/26/2004	Richard J. Schneider	IGT1P315/AC037	5053

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EXAMINER

RENDON, CHRISTIAN E

ART UNIT	PAPER NUMBER
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3714

MAIL DATE	DELIVERY MODE
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05/26/2009

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/813,910	Applicant(s) SCHNEIDER, RICHARD J.	
	Examiner CHRISTIAN E. RENDÓN	Art Unit 3714	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 24 February 2009.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-12, 15, 17-29, 31-40, 42-49, 51, 53, 55 and 58-62 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-12, 15, 17-29, 31-40, 42-49, 51, 53, 55 and 58-62 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Response to Amendment

This office action is in response to the amendment filed on 2/24/09 in which applicant amended claim 1, 51; responded to claim rejections. Claims 1-12, 15, 17-29, 31-40, 42-49, 51, 53, 55 and 58-62 are still pending.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-2, 5, 7, 12, 15, 17-19, 21-25, 51, 53, 55 & 58-62 are rejected under 35 U.S.C. 103(a) as being unpatentable over Okada (US 5,496,032) in view of Giobbi (US 6,749,510 B2).

1. Okada discloses a management system designed to detect fraudulent acts in a gaming hall (Okada: abstract). The system monitors the number of inserted and paid-out tokens from a slot machine (Okada: abstract). The collected data is compared and a discrepancy in the calculation is considered a sign of theft thus the system initiates an alarm based on the level the measured divergence (Okada: abstract). The system consists of token dispenser **16p32** connected to slot machines **15p32** (Okada: col. 4, lines 26-29), token counter **17p**, money exchanger **18p**, 'sixteen system control units' (SCU) **10p** & a local computer **27** through a local area network (LAN) established from optical fiber cables **12** (Okada: fig. 1). Furthermore, the LAN portion of the system is connected to a host computer through a wide-area network (WAN) provided by a modem connection **38** (Okada: col. 5, lines 10-13).

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2. Regarding claim 1, the disclosed slot machine **15p** and its components such as token dispenser **16p** (Okada: col. 4, lines 26-29) and token counter **17p** are considered **gaming devices**. The art discloses calculating the expected sales data from the total number of playing media inserted and the total number of playing media paid out as dividends for wins (Okada: col. 2, lines 31-34). Thus the prior art contains a **value tracker that tracks the amount of monetary value accepted and outputted from the gaming device**. The expected (KKUn) and actual (JKUn) sales values are calculated at the end of a **predetermined** (Okada: col. 2, lines 38-40) **time period** (Okada: col. 3, lines 7-8). Additionally, the prior art provides several **time periods of different durations**: two minutes (Okada: col. 6, lines 54-56), 30 minutes (Okada: col. 9, lines 2-3) or any duration deemed reliable (Okada: col. 9, lines 65-66). An analysis resulting in zero is considered normal (Okada: col. 8, lines 33-34); however a value greater than zero triggers an alarm or **warning signal**. The severity of the alarm is based on a comparison between the results and an established range (Okada: col. 8, lines 34-41):

Green alarm signal produced from a range of 1 to 3000 money units

Yellow alarm signal produced from a range of 3001 to 5000 money units

Red alarm signal produced from a range of 5001 to infinity money units

Therefore the art teaches generating an alarm or **warning signal based on a comparison of the accepted and outputted monetary value for predetermined time periods for different durations**.

3. The prior art remains silent towards basing the warning threshold on the duration of the time period. The prior art further states the expected value is comprised of an expected individual sales amount (Okada: col. 6, line 1). Giobbi teaches monitoring a gaming hall to determine the high/low **time periods** in an attempt to determine an expected amount of game revenue for the duration of time (ex. 6pm – 11pm) (Giobbi: col. 10, lines 33-43). In other words, Giobbi teaches altering the expected individual sales value in accordance to historical data as an attempt to maximize the

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casino's earnings. Thus an ordinary artisan would combine the two references in an attempt to create a gaming system that is able to properly calculate the expected individual sales amount for different durations of time (ex. 6pm - 11pm) in a day. Thus the expected sales amount would alternate between different values during different time periods. Additionally, the warning threshold ranges would also require an update in accordance to the increased/decreased expected value due to the combination in an attempt to maintain the same proportional alarm ranges (Okada: col. 8, lines 25-32) disclosed by the art. In other words, red alert alarm defined at 5,000 would always go off if the expected sales (KKUn) is 100,000 and actual sales (JKUn) is 10,000. Thus the art combination teaches **associating a generated warning threshold based on the duration of the time period**.

4. Regarding claims 2, 5, 7, 10, 12, 20, 53, 55, tokens are **physically discharged** for distribution from a token dispenser **16p** (Okada: col. 4, lines 29-32) and money changer **18p** (Okada: col. 5, lines 25-28) in exchange for a cash to token value equivalent. As stated above, a **gaming device** consists of a slot machine **15p** and its components such as token dispenser **16p** (Okada: col. 4, lines 26-29). The Examiner views the insertion of a token into a gaming device (Okada: col. 5, lines 28-30) as an act of **transferring and acceptance of credit or cash equivalent to the device** by having **tokens deposited into the gaming device**. As discussed above, the gaming devices are **tracking** an inserted token which is a **credit or cash equivalent**. Furthermore, the Examiner views a token as a **physical device that transfers credit or cash equivalent**. The art also discloses token counters **17p** printing receipts that display a counted number of tokens. An issued receipt is accepted by the premium exchange department for goods or money (Okada: col. 5, lines 42-46) thus receipts function as **coupons or tickets that are redeemed elsewhere on a gaming network** such as the exchange department. Furthermore, the art teaches tracking the amount of tokens outputted by a gaming machine (Okada: abstract) thus the system will also track jackpots.

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5. Regarding claims 15, 17-18, the art teaches **reset-able time periods** since an analysis is determined for each elapsed time period (Okada: col. 3, lines 7-8). Since the prior art presents the time periods as variables (T1, T2), a time period lasting any duration (Okada: col. 6, lines 55-58) is inherent, thus teaching a **time period of one hour or an employee work shift**. A full shift is the maximum an employee is able to work at the game hall equaling the duration of the hall's operating hours. The art teaches the system tracking the total number of tokens entered into all slot machines during the period of gaming hall opening (Okada: col. 7, lines 47-49) until the hall closes (Okada: col. 8, line 56). Therefore teaching a **time period equaling the duration of an employee work shift**. Furthermore, the time periods are occurring **concurrently** since each slot machine has their own time period (Okada: col. 6, lines 55-59).

6. Regarding claims 20-23, 25, the prior art teaches displaying a visual alarm (Okada: abstract) on a monitor (Okada: col. 4, lines 3-5) coupled to the network (Okada: fig. 1). As stated above, the gaming device provides the tracking data to a SCU **10p** (Okada: col. 5, lines 51-54) thus the art teaches a gaming device inherently containing a value tracker able to provide **the number of accepted and outputted tokens**. Thus the value tracker is resident on a network with a gaming device (Okada: fig. 1). Furthermore, the local computer **27** calculates (Okada: col. 5, line 61) the difference between the collected data, which in turn is used to determine an alarm state (Okada: col. 8, lines 19-24). Thus the local computer **27** has a **warning generating system that is resident on a network** (Okada: fig. 1).

7. Regarding claim 24, Okada discloses a local computer **27** that calculates (Okada: col. 5, line 61) the difference between the collected data during **different time periods** (Okada: col. 6, lines 55-59) and produces a **warning signal** when a fraudulent act is detected. In other words, the prior art fails to disclose a warning generating system in a gaming

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device. However an ordinary artisan including the program code of the local computer into each gaming machine is considered to produce a predictable result using known elements under KSR.

8. Regarding claim 51, the limitations that are found in claim 1 are rejected under the same rational. The art discloses calculating the expected sales data from the total number of playing media inserted and the total number of playing media paid out as dividends for wins. The number of playing media can be converted to the money amount by referring to the value of the playing medium (exchange rate) (Okada: col. 2, lines 31-36). The prior art teaches defining the range for a red alarm as 5000 to (KKU – JKUn) (Okada: col. 8, lines 31-32) and JKUn is based on the actual total sale amount for each token dispenser (Okada: col. 7, lines 27-29). A gaming device is considered by the prior art as the combination of a slot machine and a token dispenser (Okada: col. 4, lines 27-29). Therefore the prior art teaches **subtracting a monetary value amount accepted into the gaming device (wagers) from the recorded amount of monetary value paid by the gaming device (awards) then comparing the difference value to a predetermined value** (alarm range).

9. Regarding claim 58, the prior art discloses **three type of alarm or warning**, each representing a different level of fraud intensity (Okada: col. 8, lines 34-41). Thus the art teaches the green alarm as a **first type of warning** and yellow as the **second highest type of warning**.

10. Regarding claims 59-62, the reference teaches **generating a visual alarm or warning** (Okada: abstract). The art teaches halting or **prohibiting a game on a gaming device from operating when a warning is issued** (Okada: col. 5, lines 4-7). A **warning signal is transmitted over the network** to the host computer in the headquarters for operation evaluation (Okada: col. 5, lines 10-13). Furthermore the disclosed graphs (Okada: fig. 3-6) that are printed out as alarm data (Okada: col. 5, line 3) are viewed to teach the **generation of event log entry**.

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Claims 26-32, 35-40 and 42-49 are rejected under 35 U.S.C. 103(a) as being unpatentable over Okada and Giobbi in view of “Dealing with ‘Outliers’: How to Maintain Data’s Integrity” (<http://cc.uoregon.edu/cnews/spring2000/outliers.html>).

11. The above description of the art combination and the limitations they pertain is considered within this art rejection as well. Okada remains silent towards excluding jackpot payouts from the calculated results. The prior art article “Dealing with ‘Outliers’: How to Maintain Data’s Integrity” from here on will be referred to as Outlier. The article defines an outlier as an unusual data value appearing in a data collection as a result of an error or a rare event. The author considers outliers a problem since their presence inflate sum of squares, distort estimates and p-values which can all lead to faulty conclusions.

12. Regarding claims 26, 38, 46, Okada discloses a management system that determines fraudulent acts and produces **warning signals** based on a statistical analysis. The prior art article ‘Outliers’ teaches how rare or unwanted data can distort an estimation resulting in faulty conclusions. Thus the article teaches **excluding data** from a **data calculation**. The inclusion of the prior art article into the system disclosed by Okada would prevent **jackpot events** from resulting in a false analysis of a *fraudulent act*; therefore it would have been obvious to an ordinary skilled artisan to combine the references.

13. Regarding claims 27, 39, 47, the limitations that are found in claim 2 are rejected under the same rational therefore see above.

14. Regarding claims 28, the limitations that are found in claim 20 are rejected under the same rational therefore see above.

15. Regarding claims 29, 40, 48, the limitations that are found in claim 7 are rejected under the same rational therefore see above.

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16. Regarding claims 31, the limitations that are found in claim 60 are rejected under the same rational therefore see above.

17. Regarding claim 32, Okada discloses the local computer containing a buzzer **32** (Okada: col. 4, lines 65-66). Therefore the prior art teaches the use of an **audible sound as a warning signal**.

18. Regarding claims 35-36, Okada further discloses the warning signal comprises creating a **list of suspect gaming devices** (Okada: fig. 4; col. 8, lines 61-64) and creating an entry in an **event log** or print out of the data (Okada: col. 8, lines 15-21)

19. Regarding claims 37, 45, the limitations that are found in claim 59 are rejected under the same rational therefore see above.

20. Regarding claims 42-43, Okada teaches the use of a **comparator** to determine if a **calculated value** occurs within a range defined by **predetermined values** (Okada: col. 8, lines 25-32). The system generates a **warning signal** based the range or **threshold amount** the calculated results occur within (Okada: col. 8, lines 33-44).

21. Regarding claims 44, 49, Okada discloses a local computer **27** calculating (Okada: col. 5, line 61) the difference between the collected data during a **time** (Okada: col. 8, lines 49-51) **period** (Okada: col. 6, lines 55-59). The system generates a **warning signal** based the range or **threshold amount** the calculated results occur within (Okada: col. 8, lines 33-44).

Claims 33-34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Okada and Giobbi in view of “Dealing with ‘Outliers’: How to Maintain Data’s Integrity” and further in view of Oles et al. (US 2003/0060280 A1).

22. The above description of the art combination and the limitations they pertain is considered within this art rejection as well. Okada teaches LAN established from optical fiber cables **12** (Okada: fig. 1) and WAN provided by a modem connection **38** (Okada: col. 5, lines 10-13). However remains silent towards the use of a wireless communication system instead of optical fiber cables or modem

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connection. Oles teaches a casino money handling system with a gaming machine networked to a control station. The link may be wired or wireless and cites the IEEE 802.11b **wireless** standard as an example (Oles: par 62). An IEEE 802.11b **wireless network** contains a plurality of **radios monitoring the same frequency**. Therefore, in view of Oles et al., it would have been obvious to one of ordinary skill in the art at the time the invention was made to replace the wired optical connection between the local computer and gaming machine of Okada with a wireless IEEE 802.11b wireless network in order to reduce the number of wires necessary in the system. The **warning signal** would be **transmitted wirelessly** from the local computer to the gaming machine in order to halt operation. **Claims 3-4, 6, 8-9 and 11 are rejected under 35 U.S.C. 103(a) as being unpatentable over Okada and Giobbi in view of LeStrange (US 5,470,079).**

23. The above description of the art combination and the limitations they pertain is considered within this art rejection as well. Okada remains silent towards the establishment of player accounts on the network through smart cards. LeStrange teaches an **accounting** and monitoring system for game machines that tracks credit cards, **smart cards**, or other data cards containing credit accounts (LeStrange: col. 4, line 64 - col. 5, line 5). In other words, the reference teaches the establishment of an **account for a player** on the **network** that allows for **credit transfers** to a gaming device through a **smart card**. tracking of Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the management method for the gaming hall of Okada to include the management and accounting of cashless forms of payment (i.e., credit cards, smart cards, and player accounts) taught by LeStrange in order to encourage more people to use the game machine by providing more convenient payment options.

Response to Arguments

Applicant's arguments with respect to the claims have been considered but are moot in view of the new ground(s) of rejection.

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For the record, the Examiner would like to state that "Dealing with 'Outliers'" teaches excluding values from the collected dataset in an attempt to prevent unnecessary/rare/unwanted data from distorting or causing a faulty conclusion. The perspective of Okada is to determine the occurrence of a fraudulent act towards a casino machine based on an expected and actual sales amount. A difference between the two values that falls within the set ranges is considered an indication of missing revenue, a fraudulent act. Thus a jackpot event that results in a payout that reduces the actual sales amount significantly will cause the system to determine a fraudulent act. In other words, the establishment "expects" a certain sales amount today (10,000) however a large jackpot was awarded thus lowering the "actual" sales amount (1,000) causing the system to calculate (9,000) an abnormality (red alarm) even though the awarding of a large jackpot is not a fraudulent act. Thus large jackpot values that occur rarely will cause the calculation of a false alarm hence should be removed from the data pool as taught by the article in an attempt to prevent a faulty conclusion.

Examiner's Note

Applicant is duly reminded that a complete response must satisfy the requirements of 37 C.F. R. 1.111, including: "The reply must present arguments pointing out the specific distinctions believed to render the claims, including any newly presented claims, patentable over any applied references. A general allegation that the claims "define a patentable invention" without specifically pointing out how the language of the claims is patentably distinguishes them from the references does not comply with the requirements of this section. Moreover, "The prompt development of a clear Issue requires that the replies of the applicant meet the objections to and rejections of the claims." Applicant should also specifically point out the support for any amendments made to the disclosure. See MPEP 2163.06 II(A), MPEP 2163.06 and MPEP 714.02. The "disclosure" includes the claims, the specification and the drawings.

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Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to CHRISTIAN E. RENDÓN whose telephone number is (571)272-3117. The examiner can normally be reached on 9 - 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Dimtry Suhol can be reached on 571-272-4430. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Dmitry Suhol/
Supervisory Patent Examiner, Art Unit 3714

/CHRISTIAN E RENDÓN/
Examiner Art Unit 3714
CER